

"Express Mail" Label No. EV 330855050 US  
Date of Deposit: June 19, 2003

PATENT  
Attorney Docket No.: 019599-000120US

I hereby certify that this is being deposited with the United States Postal Service "Express Mail Post Office to Address" service under 37 CFR 1.10 on the date indicated above and is addressed to:

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

By: 

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

Steven McCanne

Application No.: Unassigned

Filed: Herewith

For: PERFORMING MULTICAST  
COMMUNICATION IN COMPUTER  
NETWORKS BY USING OVERLAY  
ROUTING

Examiner:

Art Unit:

INFORMATION DISCLOSURE  
STATEMENT UNDER 37 CFR §1.97 and  
§1.98

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

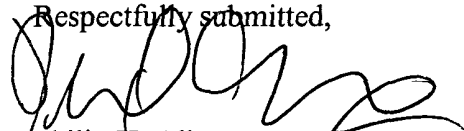
The references cited on attached form PTO/SB/08A and PTO/SB/08B are being called to the attention of the Examiner. In accordance with 37 CFR §1.98(d), copies of the references can be found in Application No. 09/323,869, filed June 1, 1999 (Attorney Docket No. 019599-000110). It is respectfully requested that the cited references be expressly considered during the prosecution of this application, and the references be made of record therein and appear among the "references cited" on any patent to issue therefrom.

As provided for by 37 CFR 1.97(g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no

representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information.

Applicant believes that no fee is required for submission of this statement. However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account No. 20-1430. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

Respectfully submitted,



Philip H. Albert  
Reg. No. 35,819

TOWNSEND and TOWNSEND and CREW LLP  
Two Embarcadero Center, 8<sup>th</sup> Floor  
San Francisco, California 94111-3834  
Tel: 415-576-0200  
Fax: 415-576-0300  
PHA:deb

<b>FORM PTO-1449 (Modified)</b> <b>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)</b>			Attorney Docket No.: 19599-000120US		Application No.: Unassigned	
			Applicant: Steven McCanne			
			Filing Date: Herewith		Group:	
Reference Designation			<b>U.S. PATENT DOCUMENTS</b>			Page 1
Examiner Initial	Document No.	Date	Name	Class	Sub-class	Filing Date (If Appropriate)
___ AA	6,415,323B1	July 2002	McCanne et al.	709/225		
___ AB	6,112,239	Aug. 29, 2000	Kenner, et al.			
___ AC	6,052,718	Apr. 18, 2000	Gifford			
___ AD	6,003,030	Dec. 14, 1999	Kenner, et al.			
___ AE	5,956,716	Sep. 21, 1999	Kenner, et al.			
<b>FOREIGN PATENT DOCUMENTS</b>						
	Document No.	Date	Country	Class	Sub-class	Translation (Yes/No)
<b>OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)</b>						
___ AF	Deering S. and Cheriton D., Multicast Routing in Datagram Internetworks and Extended LANs. ACM Transactions on Computer Systems, vol 8, no 2, May 1990, pp 85-110					
___ AG	Maffei S., Bisehotberger W.R. and Matzel K.-U., GTS: A Generic Multicast Transport Service. In UBILAB Technical Report 94.6.1., 1994.					
___ AH	C. Bormann, J. Ott, H. C. Gehrcke, T. Kersch, and N. Seifert, "Mtp-2: Towards achieving the S.E.R.O. properties for multicast transport," in International Conference on Computer Communications Networks, (San Francisco, California), Sept. 1994					
___ AI	Parsa M. and Garcia-Luna-Aceves J., "Scalable Internet Multicast Routing", Proceedings of ICCCN 95, Las Vegas, Nevada, Sep 1995.					
___ AJ	Thyagarajan, A. S. and Deering S. E., Hierarchical Distance-Vector Multicast Routing for the Mbone, Sigcomm'95, Cambridge, Massachusetts, August 1995					
___ AK	Yavatkar R., Griffioen J. and Sudan M., "A Reliable Dissemination Protocol for Interactive Collaborative Applications", ACM Multimedia 1995, San Francisco, CA, November 1995.					
___ AL	Amir E., McCanne S., and Zhang H., An Application Level Video Gateway In Proc. ACM Multimedia 1995, San Francisco, CA, November 1995.					
___ AM	Lin J.C. and Paul S., Rmtp: A reliable multicast transport protocol. Proceedings of the IEEE INFOCOM '96 pages 14 14-1424					
___ AN	Deering S., Estrin D., Farinacci D., Jacobson V., Liu C. and Wei L. An Architecture for Wide-Area Multicast Routing. WEE/ACM Transactions on Networking, vol. 4, no. 2, April 1996					
___ AO	Atwood, J. W., Catrina, O., Fenton, J., and Strayer, W. Timothy, Reliable Multicasting in the Xpress Transport Protocol Proceedings of the 21st Local Computer Networks Conference, Minneapolis, Minn., October 13-16, 1996.					
___ AP	Perkins C. and Crowcroft J., "Real-time audio and video transmission of IEEE GLOBECOM '96 over the internet," IEEE Communications Magazine, vol. 35, pp. 30-33, Apr. 1997.					
___ AQ	Sharma P., Estrin D., Floyd S. and Jacobson V., Scalable Timers for Soft State Protocols, Proceedings IEEE Infocom '97. Kobe, Japan, April 1997.					
___ AR	Mittra S., "Iolus: A framework for scalable secure multicasting," ACM Computer Communication Review, vol. 27, pp. 277-288, Oct. 1997. ACM SIGCOMM'97, Sept. 1997					
EXAMINER			DATE CONSIDERED			

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449 (Modified)		Attorney Docket No.: 19599-000120US		Application No.: Unassigned		
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)		Applicant: Steven McCanne				
		Filing Date: Herewith		Group:		
Reference Designation		U.S. PATENT DOCUMENTS				Page 2
Examiner Initial	Document No.	Date	Name	Class	Sub-class	Filing Date (If Appropriate)
BA						
BB						
FOREIGN PATENT DOCUMENTS						
	Document No.	Date	Country	Class	Sub-class	Translation (Yes/No)
BC						
BD						
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)						
BE	Hodel H., "Policy Tree Multicast Routing: An Extension to Sparse Mode Source Tree Delivery," ACM Computer Communication Review, vol. 28, no. 2, pp. 78--97, Apr. 1998.					
BF	Kumar S., Radoslavov P., Thaler D., Alaettinoglu C., Estrin D., and Handley M., The MASC/BGMP Architecture for Inter-domain Multicast Routing, Proc. of SIGCOMM '98, September 1998, Vancouver, B.C.					
BG	Decasper D, Dittia Z, Parulkar G, Plattner B. Router plugins: a software architecture for next generation routers Proceedings of the ACM SIGCOMM '98, Vancouver, British Columbia, Canada, September, 1998					
BH	Handley M., Crowcroft J., Bormann C., Ott J., Very large conferences on the Internet: the Internet multimedia conferencing architecture, Computer Networks (31)3 (1999) pp. 191-204					
BI	Holbrook H. and Cheriton D. R., IP Multicast Channels: EXPRESS Support for Large-scale Single-source Applications. Computer Communication Review, a publication of ACM SIGCOMM, volume 29, number 4, October 1999					
BJ	Casner S., Frequently asked questions (FAQ) on the multicast backbone (MBONE). On-line documentation available from <a href="ftp://venera.isi.edu/mbone/faq.txt">ftp://venera.isi.edu/mbone/faq.txt</a> , January 1993					
BK	Finlayson, Ross, The Multicast Attribute Framing Protocol, <a href="http://www/live.com/mafp.txt">http://www/live.com/mafp.txt</a>					
BL	Smallcast Technical white paper Cisco Systems <a href="http://cco.cisco.comlwap/public/cc/cisco/mkt/ios/tech/iptv/tech!hqv wp.htm">http://cco.cisco.comlwap/public/cc/cisco/mkt/ios/tech/iptv/tech!hqv wp.htm</a>					
BM	Real Broadcast Network (RBN) Splitters <a href="http://www.real.comlsolutions/rbn/whitepaper.html">www.real.comlsolutions/rbn/whitepaper.html</a>					
BN	Farinacci D., Lin A., Speakman T., and Tweedly A., Pretty good multicast (PGM) transport protocol specification, Internet Draft, Internet Engineering Task Force, Jan. 1998.					
BO	Farmnacci D., Wei L., and Meylor J., Use of anycast clusters for inter-domain multicast routing, Internet Draft, Internet Engineering Task Force, Mar. 1998.					
BP	Robertson K., Miller K., White M., and Tweedly A., StarBurst multicast file transfer protocol (MFTP) specification, Internet Draft, Internet Engineering Task Force, Apr. 1998.					
BQ	Banerjea A., Faloutsos M., and Pankaj R., Designing QoSMIC: a quality of service sensitive multicast internet protocol, Internet Draft, Internet Engineering Task Force, May 1998.					
EXAMINER		DATE CONSIDERED				

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449 (Modified)			Attorney Docket No.: 19599-000120US		Application No.: Unassigned	
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)			Applicant: Steven McCanne			
			Filing Date: Herewith		Group:	
Reference Designation		<b>U.S. PATENT DOCUMENTS</b>				Page 3
Examiner Initial	Document No.	Date	Name	Class	Sub-class	Filing Date (If Appropriate)
____ CA						
____ CB						
<b>FOREIGN PATENT DOCUMENTS</b>						
	Document No.	Date	Country	Class	Sub-class	Translation (Yes/No)
____ CC						
____ CD						
<b>OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)</b>						
____ CE	Banerjee A., Faloutsos M., and Pankaj R., Designing QoS-MIC: a quality of service sensitive multicast internet protocol, Internet Draft, Internet Engineering Task Force, May 1998.					
____ CF	Thaler D., Estrin D. Meyer D. Border Gateway Multicast Protocol (BGMP): Protocol Specification Internet Draft November 1998					
____ CG	Casey L., Cunningham I. and Eros R., IP VPN Realization using MPLS Tunnels, Internet Engineering Task Force, Nov. 1998.					
____ CH	Finlayson R. A More loss-Tolerant RTP Payload format for MP3 Audio. Internet Draft January 1999					
____ CI	Finlayson R. IP Multicast and Firewalls. Internet Draft. May 1999					
____ CJ	Blazevic L. and Le Boudec J., Distributed Core Multicast (DCM): a routing protocol for many small groups with application to mobile IP telephony, Internet Engineering Task Force, Jun. 1999.					
____ CK	Hampton D., Oran D., Salama H. and Shah D., The IP Telephony Border Gateway Protocol(TBGP), Internet Engineering Task Force, Jun. 1999					
____ CL	Finlayson R. The UDP Multicast Tunneling Protocol. Internet Draft July 1999					
____ CM	Malis A., Heinanen J, Armitage G, Gleeson B A Framework for IP Based Virtual Private Networks Internet Draft August 1999					
____ CN	Waitzman D., Partridge C., Deering S.E., Distance Vector Multicast Routing Protocol. Request for Comments RFC 1075, November 1988					
____ CO	Hanks S., Li T. Farinacci D. Traina P. Generic Routing Encapsulation Request for Comments RFC 1701 October 1994					
____ CP	Farinacci D., Hanks S., Li T., Traina P. Generic Routing Encapsulation over IPv4 networks. Request for Comments RFC 1702 November 1994					
____ CQ	Schulzrinne H., Casner S., Frederick R., Jacobson V. RTP: A transport protocol for real-time applications. Request for Comments RFC 1889, January 1996					
____ CR	Fenner W. Internet Group Management Protocol, Version 2, RFC2236 November 1997					
____ CS	Ballardie A. Core Based Trees (CBT) Multicast Routing Architecture. Request for Comments, RFC 2201, September 1997					
____ CT	Estrin D., Farinacci D., Helmy A., Thaler D., Deering S., Handley M., Jacobson V., Liu C, Sharma P., Wei L. Protocol Independent Multicast-Sparse Mode (PIM-SM). Request for Comments RFC 2362, June 1998					
____ CU	Arango M., Dugan A., Elliott I., Huitema C. and Pickett S., Media Gateway Control Protocol (MGCP) Version 1.0 RFC 2705 October, 1999					
EXAMINER			DATE CONSIDERED			

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.